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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Attorney Docket No.	1250/4
Application Number	09/922,240
Filing Date	AUGUST 3, 2001
First Named Inventor	MICHAEL A. GREENBERG
Group Art Unit	2164
Examiner	

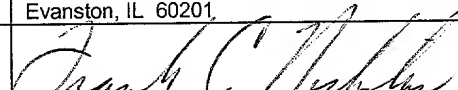
## ENCLOSURES (check all that apply)

<input type="checkbox"/> Amendment/Response to Restriction/Election Req. <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Petition for Two Month Extension of Time Request (duplic) <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement, PTO-1449, art <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Notice of Incomplete Reply	<input type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawings: 14 Substitute Sheets <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Declaration and Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request of Refund	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input checked="" type="checkbox"/> Post Card Receipt <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <input checked="" type="checkbox"/> Notice of Incomplete Reply
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 50-1713. A duplicate copy of this sheet is enclosed.		

## CALCULATION OF FEE

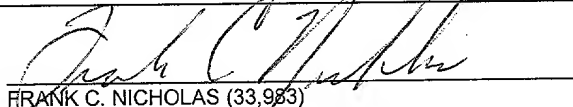
				Small Entity		Large Entity		
	Claims After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	Rate	Add'l Fee
Total		Minus			x \$9=	0	x \$18=	
Indep.		Minus			x \$42=	0	x \$84=	
First Presentation of Multiple Dep. Claim					+\$140=	---	+	\$280=
					total add'l fee	\$ 0	total add'l fee	\$ 0

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	FRANK C. NICHOLAS Registration No. 33,983 Cardinal Law Group 1603 Orrington Avenue, Suite 2000 Evanston, IL 60201		
Signature		Date:	JANUARY 25, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: JANUARY 25, 2002

Signature	 FRANK C. NICHOLAS (33,983)	Date:	JANUARY 25, 2002
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2002010122660



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/922,240	08/03/2001	Michael A. Greenberg	1250/4

CONFIRMATION NO. 8715

## FORMALITIES LETTER



\*OC000000007308577\*

Frank C. Nicholas  
CARDINAL LAW GROUP  
Suite 2000  
1603 Orrington Avenue  
Evanston, IL 60201

Date Mailed: 01/15/2002

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

*Filing Date Granted*

The U.S. Patent and Trademark Office has received your reply on 01/03/2002 to the Notice to File Missing Parts (Notice) mailed 09/25/2001 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

*A.T.*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

20020115 0422660



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

MICHAEL A. GREENBERG, CHRISTIAN A. S. PENSA,  
PATRICK ZAOUTER

Serial No.: 09/922,240

Filed: AUGUST 3, 2001

Title: METHOD AND SYSTEM FOR EXCHANGING  
COMMODITIES ONLINE

Examiner:

Group Art Unit:

**RESPONSE TO NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)**

**Filing Date Granted**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attention: Box Missing Parts

Dear Sir:

In accordance with the Notice of Incomplete Reply (Nonprovisional), Filing Date Granted, dated January 15, 2002, a copy of which is attached, enclosed herewith for filing are the following documents to complete the filing requirements of the above-identified application. The Applicant is a small entity and hereby claims small entity status.

- ☒ Drawings: 14 sheets of Substitute Drawings in compliance with 37 CFR 1.84
- ☐ Statement Claiming Small Entity Status-(37 CFR 1.9(f) & 1.27(b)) – Independent Inventor
- ☒ Charge Deposit Account No. 50-1713 in the amount of \$ for:
- ☐ \$ Filing fee [\$355 small entity; \$710 large entity (design \$160, \$320)]
- ☐ \$ Additional Claim Fees
- ☐ \$ Missing Parts Surcharge

Petition for Extension of Time to reply to the Notice of Missing Parts (and fee)

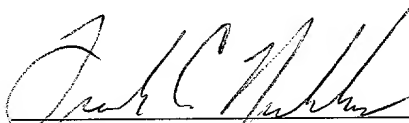
- |  |   |          |                                       |   |          |
|--|---|----------|---------------------------------------|---|----------|
| <input type="checkbox"/> one month             | = | \$55.00  | <input type="checkbox"/> three months | = | \$460.00 |
| <input checked="" type="checkbox"/> two months | = | \$200.00 | <input type="checkbox"/> four months  | = | \$720.00 |

- ☐ Other: 37 C.F.R. 1.33 Change of Correspondence Address.
- ☒ The Assistant Commissioner is hereby authorized to charge any deficiencies in fees or credit any overpayment to Deposit Account No. 50-1713. A duplicate copy of this paper is enclosed.

Dated: JANUARY 25, 2002

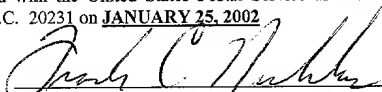
Respectfully submitted,

CARDINAL LAW GROUP  
1603 Orrington Avenue, Suite 2000  
Evanston, Illinois 60201  
(847) 905-7111

  
FRANK C. NICHOLAS  
Registration No. 33,983

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231 on JANUARY 25, 2002

JANUARY 25, 2002  
Date

  
FRANK C. NICHOLAS (33,983)